The Two-Phase Planning Process

REFERENCES

- ER 1105-2-100, Planning Guidance Notebook
- Appendix G, Section II, Study Procedures and Reports
- Appendix H, Review and Approval of Decision Documents

www.usace.army.mil./inet/usace-docs/eng-regs/er1105-2-100/toc.htm

- EC 1105-2-208, Preparation & Use of Project Study Plans

OBJECTIVES

- To be able to cite the major products developed during each phase of the planning process.

- To be able to cite the major purpose of the Project Study Plan.

§905(b) WRDA 1986

"Before initiating any feasibility study … the Secretary shall first perform, at Federal expense, a reconnaissance study … to determine whether … planning … should proceed to the … feasibility report. Such … study shall include a preliminary analysis of the Federal interest, costs, benefits, and environmental impacts of such project, and an estimate of the costs of preparing the feasibility report. The duration of a reconnaissance study shall normally be no more than 12 months, but in all cases is to be limited to 18 months."

EXPEDITED RECONNAISSANCE PHASE

PURPOSES {§905(b) WRDA 1986}

- Determine whether planning should proceed
- Determine Federal interest
- Estimate cost of feasibility phase

REQUIREMENTS {Pl. Guidance Letter 99-01}

- Develop 905(b) report, FCSA, and PSP
- 100 percent Federal funding
- $100,000 cost limit
- 12 - 18 months duration
- Report certified by HQ, USACE

EXPEDITED RECON PHASE ACTIVITIES & TARGET TIMES

ACTIVITY	MONTHS ELAPSED
District receives funds; initiates discussion of PSP and FCSA with Sponsor.	0
District submits report and Sponsor Letter of Intent to HQ. Division has assured quality of District products.	6
HQ reviews & approves report	7
District completes PSP negotiation; submits FCSA deviations to HQ	
HQ approves FCSA deviations	
Execute FCSA	12

SECTION 905(b) REPORT CONTENT

1. Study Authority
2. Study Purpose
3. Location of Project / Congressional District
4. Prior Studies, Reports, and Existing Projects
5. Plan Formulation
   - A. Identified Problems
   - (1) Existing Conditions
   - (2) Expected Future conditions
   - (3) Planning Constraints and Objectives
   - (4) Specific Problems and Opportunities
   - B. Alternative Plans
   - C. Preliminary Evaluation of Alternatives

SECTION 905(b) REPORT CONTENT (continued)

6. Federal Interest
7. Preliminary Financial Analysis (Letter of Intent)
8. Summary of Feasibility Study Assumptions
9. Feasibility Phase Milestones
10. Feasibility Phase Cost Estimate
11. Recommendations
12. Potential Issues Affecting Initiation of Feasibility Phase
13. Views of Other Resource Agencies
14. Project Area Map

FEASIBILITY PHASE COST SHARING (§105a WRDA 1986)

Federal

50% (Cash)

Non-Federal

50% = Cash+ In-Kind

25% Max.

FEASIBILITY COST SHARING AGREEMENT

- Establishes terms of cost sharing
- Legal agreement
- Model is Appendix E of ER 1105-2-100 (current version on CECW-P web page)
- Portions are negotiable
- The PSP is integral to the FCSA

THE PSP HAS BEEN CALLED MANY THINGS...

- POS - Plan of Study
- SOS - Scope of Studies
- IPMP - Initial Project Management Plan

The next version of ER 1105-2-100 will use
PMP - Project Management Plan

But, it is really just a SOW - Scope of Work

PURPOSES OF FEASIBILITY REPORT {§905(a) WRDA 1986}

" … Such feasibility report shall describe, with reasonable certainty, the economic, environmental, and social benefits and detriments of the recommended plan and alternative plans considered … and the engineering features …, the public acceptability, and the purposes, scope, and scale of the recommended plan. The … report shall also include …, a description of a nonstructural alternative …, a description of the Federal and non-Federal participation in such plan, and … demonstrate that States, other non-Federal interests, and Federal agencies have been consulted in the development of the recommended plan."

USACE PURPOSES OF THE FEASIBILITY REPORT

- Document the Planning Process
  - Determine problems & opportunities
  - Establish without project conditions
  - Formulate alternative plans
  - Evaluate plan effects
  - Compare plans
  - Recommend a solution
- Documentation for Decision-Makers
  - Demonstrate implementability
  - Demonstrate compliance with laws & policies

CONTENTS OF PSP’s

- Scope of studies
- Responsibility
- Schedule
- Measures for progress and quality
- Baseline feasibility study cost estimate
- Procedures and criteria
- Coordination mechanisms
- References

THE PSP SUPPORTS THE FCSA

- Scope of studies
- Study schedule
- Study costs
- Cash / in-kind services
- Value of in-kind services
- Coordination mechanisms
- Review of work

THE PSP IS A MANAGEMENT TOOL

- Cost and schedule control
- WBS and RAM are inputs to CEFMS
- Basis for changes
- Assists in internal communications

Use it!

PSP IS THE MEANS FOR AGREEMENT WITHIN THE CORPS AND WITH THE SPONSOR

- District - contract between PM and functional elements
- Sponsor - commitment to provide cash and in-kind services
- Division - assure adequate technical and legal review, compliance with policy and procedures, and measures of progress

SOME FINAL THOUGHTS ON PSP's

- The appropriate level of detail
- Keep it current
- Good planning makes a good project

DRAFT FEASIBILITY REPORT ACTIVITIES & TARGET TIMES

ACTIVITY	MONTHS ELAPSED
District receives funds	0
PMP Scoping, revision, and approval	
District submits cost, benefit, and environmental data and technical review documentation to HQ. Division assures quality of District products.	
CECW-AR Policy Compliance Assessment	
Alternative Formulation Briefing (AFB)	
AFB Guidance Memorandum	
District Commander signs report	
HQ and public review	
Feasibility Review Conference	
Study Guidance Memorandum	30

FINAL FEASIBILITY REPORT ACTIVITIES & TARGET TIMES

ACTIVITY	MONTHS ELAPSED
District submits report and technical review documentation to Division. Division assures quality of District products.	
Division Engineer's Public Notice	36
30-day State and Agency review	
CECW-AR Policy Assessment	
Review conference, supplemental information, Senior Representatives Briefing, Deputy Commander for Civil Works Briefing (if needed)	
Draft Chief of Engineers Report to CECW-P	39
Chief of Engineers Report to ASA(CW)	
ASA(CW) letter to OMB	40
OMB letter to ASA(CW)	43
ASA(CW) report to Congress	~44

FEASIBILITY REPORT CONTENT (ER 1105-2-100, Table 2-3)

1. Study Authority
2. Study Purpose and Scope
3. Concise Discussion of Prior Studies, Reports, and Existing Water Projects
4. Plan Formulation
   a. Problems and Opportunities
   (1) Existing Conditions
   (2) Future Without Project Conditions
   b. Planning Constraints
   c. Alternative Plans
   (1) Measures Considered

FEASIBILITY REPORT CONTENT (continued)

(2) Selection and Combination of Measures
(3) Screening of Alternative Plans
(4) Reformulation of Alternative Plans

d. Presentation and Evaluation of a Final Array of Plans
e. Trade-off Analyses
f. Selection of the Final Plan

5. Description of the Selected Plan
   a. Plan Components, Including Mitigation
   b. Design and Construction
   c. OMRR&R

FEASIBILITY REPORT CONTENT (continued)

   d. Plan Accomplishments
   e. Summary of Effects
6. Plan Implementation
   a. Institutional Requirements
   b. Division of Plan Responsibilities
   c. Views of Non-Federal Sponsor(s) and Agencies
7. Summary of Coordination, Public Views, and Comments
8. Recommendations

FEASIBILITY REPORT DISCLAIMER

"This recommendation contained herein reflects the information available at this time and current Departmental policies governing formulation of individual projects. They do not reflect program and budgeting priorities inherent in the formulation of a National civil works construction program nor the perspective of higher review levels within the Executive Branch. Consequently, the recommendations may be modified before they are transmitted to the Congress as proposals for authorization and implementation funding. However, prior to transmittal to the Congress, the Sponsor, the States, interested Federal agencies, and other parties will be advised of any

OTHER FEASIBILITY REPORT REQUIREMENTS

- Environmental Impact Statement or Environmental Assessment
- Appendices
- Supporting Documentation
- Baseline Cost Estimate(s)

SUMMARY

The major products of each phase of the planning process are:

RECONNAISSANCE

- Report
- FCSA
- PSP

FEASIBILITY

- Report with Appendices
- EIS or EA
- Baseline Cost Estimate

The major purpose of the Project Study Plan is to establish the scope, schedule, and cost of the feasibility phase.